

Request for Applications

Pre-Trial Felony Mental Health Diversion Programs

Round 2 – Other Interested Counties December 31, 2018

Letter of Intent Due Date: February 4, 2019

To be considered for Round 2 funding, interested counties must submit an initial Letter of Intent (Attachment 1) to DSH by Friday, February 4, 2019

Final Application Due Date: April 19, 2019

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A. PURPOSE AND BACKGROUND

While allowing for local discretion and flexibility, the Department of State Hospitals (DSH) seeks to demonstrate effective alternatives to incarceration for some individuals who are arrested and jailed because of behaviors caused by their mental illness and/or conditions of homelessness. The purpose of this Request for Applications (RFA) is to provide California counties with an opportunity to develop or enhance existing programs for the diversion of individuals who have complex mental health needs through one-time funds. Potential diversion candidates are individuals who are homeless, or at high risk of being so, and who frequently interface with the criminal justice system.

Assembly Bill (AB) 1810 and Senate Bill (SB) 215 (2018) amended Penal Code (PC) Sections 1001.35-1001.36 to create a pathway for courts to authorize pre-trial diversion for individuals with serious mental disorders who committed certain felony or misdemeanor crimes. Additionally, AB 1810 established Welfare and Institutions Code (WIC) 4361 which allows a funding opportunity for DSH to contract with counties. The funds support services for a specific target population of individuals with serious mental illness who have the potential to be or are deemed Incompetent to Stand Trial (IST) on felony charges. The program outlined in WIC 4361 is known as the DSH Diversion funding program and one-time funds of \$100 million have been made available to support this effort over a three-year period. The text of AB 1810 and SB 215 can be referenced at the following links: AB 1810 and SB 215.

Of the total funding available, \$8.5 million is currently available in Round 2 for counties interested in this funding opportunity. In the initial Round 1 funding opportunity released on October 31, 2018, \$91 million was set aside for the following "Top 15" counties: Alameda, Contra Costa, Fresno, Kern, Los Angeles, Riverside, Sacramento, San Bernardino, San Diego, San Joaquin, Santa Barbara, Santa Clara, Solano, Sonoma, Stanislaus. These "Top 15" counties are not eligible to apply for Round 2 funding. As there is a limited amount of funds available for distribution in Round 2 of the DSH Diversion funding program, DSH will award these funds on a competitive basis. Any undistributed funds available from Round 1 or Round 2 will be made available to counties in subsequent notifications soliciting interest to apply for funds.

The application process for Round 2 funding is a two-part process:

- Part 1: Letter of Intent to Apply: For counties to be considered for DSH Diversion Round 2 funding, a Letter of Intent must be received by DSH no later than <u>Monday</u>, <u>February 4, 2019</u>. See Attachment 1 for the Letter of Intent form and more information.
- Part 2: Narrative Application and Budget Detail: More information about the narrative application and budget detail requirements are referenced in Section F. APPLICATION REQUIREMENTS and Attachment 2.

B. QUESTIONS AND CONTACT INFORMATION

 Questions, including clarification about this RFA, Letters of Intent, or any other related correspondence related to the DSH Diversion funding opportunity should be sent to <u>DSHDiversion@dsh.ca.gov</u>. 2. In coordination with the two-part application process, DSH is providing multiple opportunities for counties to submit questions and receive responses. The first session is before the Letter of Intent to Apply due date of February 4, 2019; and a second session before Narrative Applications are due by April 19, 2019. The first session is intended to provide an opportunity for counties to make an informed decision on whether to submit a letter of intent to apply for funding. DSH will respond to questions sent to DSHDiversion@dsh.ca.gov on a flow basis and release a summary of all questions and answers for all to view by the final date reflected below in Section D. KEY DATES.

C. ELIGIBILITY FOR FUNDING

- 1. California counties are eligible to apply for DSH Diversion funding.
- 2. Round 2 funding is not available to the following "Top 15" counties: Alameda, Contra Costa, Fresno, Kern, Los Angeles, Riverside, Sacramento, San Bernardino, San Diego, San Joaquin, Santa Barbara, Santa Clara, Solano, Sonoma, Stanislaus.
- 3. Two or more counties may jointly work together, known as a county-collaborative, to submit one application for funding. One of the participating counties must be identified as the lead county for DSH Diversion contract and fund management.

D. KEY DATES

Below is the tentative time schedule for Round 2. If DSH finds a need to adjust the timelines referenced below, an addendum will be issued announcing the alternate dates.

Event	Date
RFA Released	12/31/2018
Initial Questions Due – Session 1	1/18/19
Final Date for DSH Responses to Initial Questions – Session 1	1/28/19
Last Day to submit Attachment 1, Letter of Intent to Apply	2/4/19
Last day to submit written questions before Application Due Date – Session 2	2/22/19
Final Date for DSH Responses to Questions – Session 2	3/8/19
Last Day to submit Applications	4/19/19
Projects Selected (Timeframe contingent on number of applications received by DSH)	30-60 days from due date
Proposed Start Date of Agreement and Release of Funding	TBD

E. PROJECT OVERVIEW

Refer to ATTACHMENT 2, PROJECT OVERVIEW for more information to assist counties with the scope of work, target population to be served and funding information.

F. APPLICATION REQUIREMENTS

1. General Instructions

- a) The application process for funding is a two-part process:
 - Part 1 Letter of Intent to Apply: For counties to be considered for DSH Diversion Round 2 funding, a Letter of Intent (Attachment 1) must be received by DSH no later than <u>February 4, 2019</u>. More information, including submission instructions are referenced on Attachment 1.
 - Part 2 Narrative Application and Budget Detail: After a Letter of Intent is received and accepted by DSH, applicant counties will be required to submit a Narrative Application and Budget Detail in accordance with Section F. APPLICATION REQUIREMENTS. Narrative Applications must be received by DSH no later than 5:00 p.m. on April 19, 2019. Physical submission instructions are referenced below in section F2. Narrative Application Format Requirements and Physical Submission.
- b) Each county or county-collaborative must designate <u>one</u> organization to serve as the "lead entity" that will enter into a contract with DSH to receive funding on behalf of the county. The county organization must be legally considered a local/county entity. Local Superior Courts are considered state entities and are therefore, not eligible to contract with DSH for purposes of receiving Diversion funding.
- c) Each county or county-collaborative may only submit one application consistent with the requirements outlined in this document.
- d) Board of Supervisors (BOS) approval is not required to submit a Letter of Intent. However, counties are encouraged to engage their BOS early in the process to the extent that BOS approval is necessary in each county.

2. Narrative Application Format Requirements and Physical Submission

- a) Format Requirements for Narrative Application:
 - 1) Use one-inch margins at the top, bottom, and both sides.
 - 2) Use the following font guidelines: Arial in a size of not less than 11 points.
 - 3) Clearly separate and identify each section of the application by using tab dividers, labeled with the name of each section.
 - 4) Sequentially paginate the pages in each section.
- b) Physical Submission of Narrative Application:
 - 1) Include all required components of the narrative application as outlined below in F3, Application Content Requirements.

- 2) In preparing an application response, all narrative portions should be straightforward, detailed and concise. DSH will determine the responsiveness of an application by its quality, not its volume, packaging or displays. Be sure to keep to the page limitations as set forth. DSH will not count any information contained on pages past the set limits.
- 3) Hardcopy applications must be submitted via Mail Delivery, Hand Delivery, or Overnight Delivery to the DSH no later than <u>5:00 p.m. on April 19, 2019.</u> The package must be plainly marked with the RFA title as shown in the following example:

RFA Submission
Pre-Trial Felony Mental Health Diversion Programs
Forensic Services Division
Department of State Hospitals
1600 9th Street, Room 410
Sacramento. CA 95814

4) A minimum of **one original and three copies** of the narrative application and budget detail must be submitted and clearly marked. In addition, include **one electronic copy** of the narrative application and budget detail must be emailed to DSHDiversion@dsh.ca.gov or submitted with the physical package on a USB.

3. Application Content Requirements

This section specifies the order and content of each application.

Refer to Attachment 2 PROJECT OVERVIEW for more details on the target population and scope of services, and other information to consider when preparing the application. Applications must conform to the page limitations. Assemble the materials in the following order:

a) Cover Page to Narrative Application:

The narrative application must include a cover page. The cover page must include the name of the County, Lead Entity along with point of contact information for the individual(s) representing the Lead Entity. Point of contact information shall include the name and title of representative(s), phone number, physical office address and email address.

b) Executive Summary Section

This section must not exceed **two pages** in length.

The county applicant must provide a summary of how the county intends to utilize DSH Diversion funding to either 1) expand or adapt current diversion programs to serve individuals who have significant mental health challenges and who are justice-involved and are found or at risk to be found IST on felony charges or 2) develop new pre-trial diversion programs across a continuum of care settings for individuals

who have significant mental health challenges who are justice-involved and are found or at risk to be found IST on felony charges.

The Executive Summary should clearly reflect an understanding of the population to be served and must identify the total estimated number of unduplicated clients to be served over a 3-year period and the total funds requested.

c) Lead Entity Section

This section must not exceed **one page** in length.

Briefly describe why the Lead Entity identified was selected to manage the DSH Diversion funding contract. Describe how the Lead Entity will coordinate with the different partners involved in supporting clients considered for and/or participating in the diversion program.

d) Collaborative Partners Section

This section must not exceed **two pages** in length.

- Provide a list of local/county partners involved in the planning and implementation process. Identify specific organizations, names and titles of collaborative partners.
- Provide a brief description of activities undertaken by the collaborative partners to support the planning and implementation of pre-trial mental health diversion programs.
- 3) Describe of how the proposed diversion plan builds on existing system-planning efforts (e.g., Community Corrections Partnership, Mental Health Services Act Plan, Stepping Up Initiative, Criminal Justice/Mental Health Task Force, etc.) and addresses identified gaps.

e) <u>Description of Proposed Local Diversion Plan Section</u>

This section must not exceed **eight pages** in length.

Describe the key components of your planned diversion program, including but not limited to:

- 1) How appropriate individuals will be identified (referred, screened, evaluated) as prospective clients.
- 2) The type of treatment and support services clients will receive including any treatment services provided in jail prior transfer to the community. If existing programs/services will be leveraged to provide diversion services, identify the programs/services and funding source.
- 3) The estimated number of unduplicated clients that could be served by your diversion plan on an annual basis.
- 4) The estimated average length of stay for clients served by the diversion program after transferred from jail to the community.

- 5) How clients will be connected to ongoing services in the community after they have completed the diversion program.
- 6) Depiction (i.e. flow chart) of the process flow for participating clients from identification to completion of diversion program and referral to ongoing community services.
- 7) Refer to Attachment 2, PROGRAM OVERVIEW for information and resources to consider including when developing the narrative portions of the application.

f) Data and Outcomes Reporting Section

This section must not exceed **two pages** in length.

County applicants who enter into a contract with DSH will be required to report data and outcomes to the DSH for all diversion program participants. At a minimum, contracted counties will be required to report on the data elements referenced on ATTACHMENT 2, PROJECT OVERVIEW.

Document your plan for collecting and reporting on required data elements and the frequency by which client-specific demographics, including mental disorder diagnoses and felony charges can be reported. As part of your plan, identify the role of person(s) within the program who will be responsible for collecting and reporting required data elements.

Document any other plans to track additional data elements, measure outcomes or evaluate the effectiveness of this program outside the scope of DSH minimum requirements.

g) Management Plan Section

This section must not exceed **three pages** in length.

- 1) Describe how the County will effectively coordinate, manage, and monitor the efforts of the local diversion program.
- 2) Describe the fiscal reporting and monitoring process that will be employed to ensure contract funds are managed responsibly.
- 3) At a minimum, participating counties will be required to report matching contributions every 6 months during the term of the contract funding period using the format available to the county and agreed to by DSH. Describe how the county's required cash and/or in-kind match will be tracked and reported to DSH.
- 4) Describe any potential barriers to successfully implementing and managing your diversion plan.
- 5) Describe your plan for leveraging this funding opportunity to inform post-contract sustainability.

h) Program Implementation Timeline

This section must not exceed **one page** in length.

Provide a description of the program implementation timeline including key milestones supporting the plan outlined in response to section 3d, <u>Description of Proposed Local Diversion Plan.</u>

i) Key Personnel

This section must not exceed three pages in length.

The Applicant must provide information regarding their proposed staffing plan and identify any subcontractors that are planned to assist in accomplishing the scope of services. Provide detailed information that includes, at a minimum, the following components:

- Summary of recruitment strategy and timeline for hiring and/or contracting for staff resources.
- 2) Brief description of the service category/function to be performed by each proposed position (i.e. Assertive Community Treatment Team, Peer Support, etc.). Include the classification or discipline (i.e. social worker, psychologist, etc) that will be used.
- 3) Proposed time base for each position. If part time, identify the percentage of time worked.
- 4) Identify if existing personnel (civil service or contracted staff) are being redirected towards this effort.

j) Proposed Budget Detail

This section must not exceed **four pages** in length.

- 1) All applications must submit a proposed annual budget over a 3-year term supporting the activities and key personnel addressed in the description of the proposed local diversion plan.
- 2) The proposed budget must clearly identify the amount of DSH Diversion funds being requested and restate the total estimated number of clients to be served by the program. If the amount of DSH Diversion funds proposed exceeds the benchmark funding identified for each county referenced on Attachment 3, provide a justification of why the costs are higher than amounts provided.
- Assuming other funding sources such as Medi-Cal will be leveraged, clearly identify the portions of the total budget that will be supported by the other funding sources used to support program costs.

4) Required Matching Funds: Identify the portion of the budget that will be used to apply towards the required 10-20% match. Identify if the match is cash or in-kind, the amount of the match by type and funding source. State funds may not be used towards required match contributions. The funding sources must be local/county funds. In addition, any federal financial participation drawn with DSH Diversion Funds may not be applied towards required county match contributions.

G. EVALUATION AND SELECTION

A multiple stage evaluation process will be used to review and/or score narrative applications. DSH will reject any application that is found to be nonresponsive at any stage of evaluation.

1. Stage 1 - Administrative Review

DSH will conduct an administrative review in accordance with the RFA requirements to determine an applicant's responsiveness. Each application will be checked for completeness and/or absence of all required information. During the review period, if an item is unclear or needs further clarification, applicants may be requested to provide additional documentation.

<u>Definition and Determination of Responsive Applicants</u>

A responsive applicant is one who submits a proposal that meets all the submission requirements stated in this RFA. Each application will first be reviewed to determine whether the applicant is responsive. This includes, but is not limited to, ensuring that the proposal was received by the date and time specified; that the proposal contains all the required documents; and that the proposal meets the format requirements specified.

2. Stage 2 – Narrative Application and Proposed Budget Evaluation

Evaluators will review, evaluate and numerically score applications based on each narrative application's adequacy, thoroughness, and the degree to which it complies with the RFA requirements.

DSH will use the following scoring system to assign points. Section H outlines the considerations that raters may take into account when assigning individual points to a narrative application.

Maximum Points	Interpretation	General basis for point assignment
supp		Applicant does not include a response and/or supporting information for the requirement(s) or does not commit to meet the RFA requirement(s).

Maximum Points	Interpretation	General basis for point assignment
5	Barely Adequate	Response and/or supporting information just meets the RFA requirement(s) and/or the information is unclear. Response provides very minimal descriptive information to support the Applicant's claim that they understand and intend to meet the requirement(s). Response is lacking information, lacking depth or breadth or lacking facts and/or details.
10	Adequate	Response and/or supporting information meets the basic RFA requirement(s) and demonstrates an understanding of, and the ability and intent to meet the requirement(s). There may be omission(s), flaw(s) and/or defect(s) but they are inconsequential and acceptable.
15	More than Adequate	Response and/or supporting information demonstrates a thorough, detailed and complete understanding of the requirement(s), demonstrates the ability and intent to meet the requirement(s), provides evidence of current ability to comply, and/or provides detailed plans or methodologies to further assure compliance with the requirement(s). The response is not considered excellent or outstanding but is above average and has no flaw(s), omission(s) or defect(s).
20	Excellent or Outstanding	Response and/or supporting information demonstrates a thorough, detailed and complete understanding of the requirement(s). Response demonstrates the ability and intent to exceed the requirement(s), provides evidence of current ability to comply, and proposes detailed plans or methodologies that further assure how the requirement(s) will be exceeded.

Below are the point values for each rating category that will be scored. Maximum point values for each category align to the rating factors described below in Section H. Narrative Application Rating Factors. Applications will be scored on a scale of 0 to 400 points, as follows:

Narrative Rating Category	Total Points
Cover Page	20
Executive Summary	40
Lead Entity	20
Collaborative Partners	40
Proposed Local Diversion Program	120
Data and Outcomes	20
Management Plan	40
Program Implementation	20
Key Personnel	40
Proposed Budget	40
Total Points Possible	400

H. NARRATIVE APPLICATION RATING FACTORS

Raters will use the following criteria to score the narrative applications. Each numerical factor displayed in the sections below are valued at a maximum of 20 points in accordance with the scoring system referenced in Section G2, Stage 2 - Narrative Application and Proposed Budget Evaluation.

Cover Page to Narrative Application

Rating Factors

1. Is a cover page included with the submitted application with the information requested?

Score (1 factor x 20 max points)

Possible Points - 20

Executive Summary Section

Rating Factors

- 1. To what extent does the application provide a brief overview of the proposed diversion plan and how well is the plan described?
- 2. How well does the application reflect an understanding of the population to be served and identify total estimated number of clients to be served over a 3-year period and total funds requested

Score (2 factors x 20 max points)

Possible Points - 40

Lead Entity Section

Rating Factors

1. To what extent does the applicant describe why the Lead Entity was selected to the manage the DSH Diversion funding contract and how the Lead Entity will coordinate with the different partners involved in the diversion program.

Score (1 factor x 20 max points)

Possible Points - 20

Collaborative Partners Section

Rating Factors

- 1. To what extent are the key local behavioral health and criminal justice partners represented in the planning and implementation process for the local diversion program? Are specific organizations, names and titles of collaborative partners referenced?
- 2. To what extent are the activities undertaken by the collaborative partners to support the proposed diversion program described and how do these activities support the planning and implementation process? To what extent does the application describe how the proposed diversion plan builds on existing system-planning efforts (e.g., Community Corrections Partnership, etc.) and addresses identified gaps?

Score (2 factors x 20 max points)

Possible Points - 40

Description of Proposed Local Diversion Plan Section

Rating Factors

- 1. To what extent does the applicant describe the plan to initially screen and refer potential clients for diversion, post-booking on a felony charge?
 - o How will potentially eligible individuals be identified and referred?
 - o Who will identify and refer potentially eligible individuals?
 - o When in the process will the referral take place?
 - o What sort of screening will be used to identify potential mental health needs?
 - What assessments/process will be used to confirm the primary mental disorder aligns to the required criteria for the target population?
 - How many individuals will be referred on a monthly or annual basis?
- 2. To what extent does the applicant describe the plan to evaluate the client for diversion program participation?
 - o Who will be performing the evaluation?
 - o How will the relationship of the mental disorder and/or homelessness to the arresting offense be determined, and by whom?
 - How will dangerousness to the community be evaluated, including a detailed description of any assessments used to make this determination and the qualifications of the individuals performing these assessments? This evaluation cannot be based exclusively on severity of arresting offense.
 - o How many individuals will be evaluated on a monthly or annual basis?
- 3. To what extent does the applicant describe the process for authorizing diversion program participation?
 - Is a diversion plan, with scope of treatment services, terms and conditions for each client developed for presentation to the court?
 - o Who develops the diversion plan?
 - How does the proposed diversion plan match services to the needs of the individual? Will this be performed by a structured risk/needs assessment? If so, describe the assessment, including its validity and reliability.
 - O Who are the stakeholders involved in approving the diversion plan?
 - How often will the plan be reviewed with the client and his/her treatment providers and criminal justice partners?
- 4. To what extent does the applicant describe the treatment and support services that will be provided to diversion clients?
 - Will treatment in jail be provided diversion program participants are awaiting entry into community treatment?
 - What are the range of services proposed to be provided to individuals admitted into the diversion program?
 - What kinds of wraparound services will be offered? How will these services be delivered, and by whom? Was a description provided for each wraparound service that will be offered?
 - What is the proposed continuum of treatment settings, including the type of housing proposed, the types of services that will be delivered for each level of care, and by whom?

- 5. To what extent does the applicant describe other key components of the county's proposed diversion plan?
 - What are the proposed plans/methods for engaging clients in treatment?
 - How and how often will diversion clients be monitored for adherence to terms and conditions of participation?
 - Is a depiction of the <u>process flow</u> for participating clients from identification to completion of the diversion program included in application?
 - What is the estimated number of unduplicated clients that could be served by the diversion plan on an annual basis and over the term of the agreement with DSH?
 - What is the estimated average length of stay for clients served by the proposed diversion program after transferred from jail to the community?
- 6. To what extent does the applicant describe the proposed plan for connecting diversion clients to ongoing services in the community after they have completed the diversion program?
 - What services and/or programs will be made available to clients after diversion participation is complete?
 - To what extent does the applicant describe or depict the <u>process flow</u> for referral to ongoing community services?

Score (6 factors x 20 max points)

Possible Points - 120

Data and Outcomes Reporting Section

Rating Factors

- 1. To what extent does the applicant document the plan for collecting and reporting on required data elements?
 - Does the applicant identify the proposed frequency of data collection and reporting and the role of the person(s) who will be responsible for collecting and reporting required data elements?

Score (1 factor x 20 max points)

Possible Points - 20

Management Plan Section

Rating Factors

- 1. To what extent does the application describe how the county will effectively coordinate, manage, and monitor the efforts of the local diversion program? To what extent does the application describe the fiscal reporting and monitoring process that will be employed to ensure contract funds are managed responsibly? To what extent does the application describe how the county's required cash and/or in-kind match will be tracked and reported to DSH?
- 2. To what extent does the application describe potential barriers to successfully implementing and managing the proposed diversion plan? To what extent does the applicant describe how this funding opportunity will be used to inform post-contract sustainability?

Score (2 factors x 20 max points)

Possible Points - 40

Program Implementation Timeline Section

Rating Factors

1. To what extent does the application describe the program implementation timeline including key milestones supporting the plan outlined in response to section 3d, Description of Proposed Local Diversion Plan?

Score (1 factor x 20 max points)

Possible Points - 20

Key Personnel Section

Rating Factors

- 1. To what extent does the application provide information regarding the recruitment strategy and timeline for hiring and/or contracting for staff resources?
- 2. To what extent does the application provide a brief description of the service category/function to be performed by each proposed position and reference the classification or discipline that will be used? Is the proposed time base for each position referenced?

Score (2 factors x 20 max points)

Possible Points - 40

Budget Section

Rating Factors

- 1. To what extent does the application include a proposed three-year budget supporting the activities and key personnel addressed in the description of the proposed local diversion plan?
 - Are all funding sources that will be used to support the proposed diversion plan clearly identified? Is the amount of DSH Diversion funds requested clearly identified?
 - Does the application clearly identify the amount, type (cash or in-kind), and source of matching funds that will be applied to the diversion program?
 - o Do the numbers add up correctly?
- 2. To what extent does the proposed amount of DSH Diversion funds requested align to the benchmark costs identified for the county? (Refer to Attachment 3). If funds requested exceed benchmark costs, to what extent does the application justify the increased cost?

Score (2 factors x 20 max points)

Possible Points - 40